

ARIZONA DEPARTMENT OF EDUCATION

AZ Charter School Program

Monitoring Handbook

2012



Arizona Charter School Program (AZ CSP)

Charter School Program Grant

Program authorized by CFDA #84.282A – Title V, Part B, Subpart 1 of the Elementary and Secondary Education Act 1965, as amended by the No Child Left Behind Act of 2001

Monitoring Site Visits

AZ CSP staff conducts onsite visits up to four times each project year to monitor charter schools receiving AZ CSP grants. The purpose of each site visit is to determine how well the sub-grantee is meeting requirements and guidelines of the grant (***SEA Monitoring Indicator 2.5 Subgrantee Monitoring: The SEA monitors subgrantee projects to assure approved grant and subgrant objectives are being achieved.***). Visits will focus on the following areas:

1. Operations
2. Educational Program, including school quality
3. Governance

Documentation Checklist:

Please assemble the following documentation for review at the time of the site visit:

- Documentation of all purchases and receipts, identified as Planning and/or Implementation, using AZ CSP funds
- Adopted By-Laws, Policies and Procedures including Lottery provisions
- Inventory Report as required by 34 CFR Part 74*
- Financial reports provided to the Governing Body
- Governing Body Agendas and Minutes
- Written curriculum, scope and sequence, curriculum map
- Assessment Plan, including diagnostic and benchmark assessments
- Evidence of assessment data analysis
- Evidence of professional development that supports effective implementation of the curriculum
- Teacher evaluation instrument; school leader evaluation instrument; completed evaluations

*Provided on page 3

34 C.F.R. Section 74.34 - Equipment

(f) The recipient's property management standards for equipment acquired with Federal funds and federally-owned equipment shall include all of the following:

(1) Equipment records shall be maintained accurately and shall include the following information:

(i) A description of the equipment.

(ii) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.

(iii) Source of the equipment, including the award number.

(iv) Whether title vests in the recipient or the Federal Government.

(v) Acquisition date (or date received, if the equipment was furnished by the Federal Government) and cost.

(vi) Information from which one can calculate the percentage of Federal participation in the cost of the equipment (not applicable to equipment furnished by the Federal Government).

(vii) Location and condition of the equipment and the date the information was reported.

(viii) Unit acquisition cost.

(ix) Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a recipient compensates ED for its share.

(2) Equipment owned by the Federal Government must be identified to indicate Federal ownership.

(3) A physical inventory of equipment must be taken and the results reconciled with the equipment records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated to determine the causes of the difference. The recipient shall, in connection with the inventory, verify the existence, current utilization, and continued need for the equipment.

How to read this document:

Indicators are identified in three general areas (operations, educational program, and governance) and aligned to the grant purpose and application. Each indicator will include a list of criteria the school will be expected to meet. During the visit, site visit facilitator will review documentation to determine if the criteria are met or not. If a review of the available documentation results in a status of “Not Met,” the facilitator may request additional evidence be provided or action completed by a certain date.

The chart below depicts the format used to display each indicator, including the required documentation and criteria to demonstrate the indicator was met.

EXAMPLE:

Indicator: Statement describing indicator		
Documentation		
Criteria	Status	Documentation Reviewed
Specific question, documentation, or policy to be reviewed	Met: <ul style="list-style-type: none">• The school has provided all necessary documentation for this criterion.• The school follows NCLB and other non-regulatory guidance.• Policies are in compliance with relevant guidelines in EDGAR. Not Met: Documentation is lacking or some processes need to be refined for full compliance with this criterion. N/A Not Applicable: The criterion is not applicable.	The reviewer will identify specific documentation reviewed for each criterion. If necessary, the reviewer may determine that a Corrective Action Plan (CAP) is required and will follow-up with a written request for information, documentation and/or policies to meet the criteria.
Total Criteria:	#Met #Not Met #NA	

Indicator: A1. Financial records

The charter school utilizes an acceptable and appropriate system for maintaining financial records related to AZ CSP purchases.

Documentation: Documentation of all purchases and receipts using AZ CSP funds

Criteria	Status	Documentation Reviewed
1. School has a clearly organized system for maintaining receipts/invoices for all purchases made with AZ CSP funds, including noting Planning/Implementation expenses.		
2. Clearly identifiable receipts can be matched to the approved AZ CSP grant budget for any selected items.		
3. All items/services purchased with AZ CSP funds are allowable.		
4. School stores receipts and financial records in a manner that minimizes the possibility of destruction (locked, fireproof storage, regular off-site backups of electronic records).		
Total Criteria: 4	#Met #Not Met #NA	

Indicator: A2. Financial statements provided to governing body on a regular basis

The charter school administration provides timely financial reports to its Governing Body for review and approval.

Documentation: Examples of financial reports and documentation in board agendas and minutes that have been submitted for review/approval; documentation in minutes of financial oversight by the board

Criteria	Status	Documentation Reviewed
1. School regularly generates financial statements for the Governing Body.		
2. School submits and Governing Body reviews and approves financial statements as documented in board agendas and minutes.		
3. Governing Body reviews and approves budget and budget amendments as documented in board agendas and minutes.		
4. Governing Body meeting minutes document discussions demonstrating fiduciary oversight of school (ex. financial policy discussions, review of financial statements, development/review/revisions/approval of school budget, purchases, etc.)		
Total Criteria: 4	#Met #Not Met #NA	

Indicator: A3. Risk Management

The charter school segregates among staff or directors various financial duties to minimize the risk of fraud or misuse of funds.

Documentation: Evidence of strong financial controls, internal financial controls and segregation of duties; independent audit findings

Criteria	Status	Documentation Reviewed
1. Approved policies specify segregation of financial duties by position/person responsible.		
2. Policy requires multiple signatures for checks over a specified amount by position.		
3. Check writing and deposits are done by separate individuals.		
4. Access to Petty Cash guidelines and allowable uses are included in school's financial policies.		
Total Criteria: 4	#Met #Not Met #NA	

Indicator: A4. Inventory

The charter school has implemented an inventory control procedure that ensures items purchased with AZ CSP funds are identified, marked, and accounted for on a regular basis.

Documentation: Inventory report, policies

Criteria	Status	Documentation Reviewed
1. The school has an inventory control system for high-cost items that meets the requirements of EDGAR.		
2. Policy requires a full inventory with established frequency. Most recent inventory date_____		
3. All AZ CSP purchases are clearly identified and included in the inventory report.		
4. The inventory report includes all required item information as identified in EDGAR 34 C.F.R. 74.34 (f).		
5. The inventory system accounts for lost, stolen, or damaged items.		
6. Capital outlay purchases (items or equipment purchased with AZ CSP funds) are identified with unique code and school name.		
7. School loans do not use capital outlay items purchased by AZ CSP as collateral.		
8. The inventory report shows the final disposition date, reason, and how AZ CSP-funded items were removed from inventory.		
Total Criteria: 8	#Met #Not Met #NA	

Indicator: A5. Charter School

The grant recipient meets the definition of the term “charter school” in section 5210 of the ESEA.

Documentation: Approved charter contract, school application, lottery policy, school policy manual

Criteria	Status	Documentation Reviewed
1. The school has an approved charter contract with its sponsor. Date contract signed:_____		
2. The school application clearly states that the charter school is a tuition free public school.		
3. The charter school has a clear lottery policy.		
4. All items purchased with AZ CSP funds only benefit the students attending the charter school receiving the AZ CSP award.		
5. The charter school is non-sectarian in its programs, admissions policies, employment practices and all other operations and is not affiliated with a religious institution.		
6. The charter school contract describes how student performance will be measured and includes state assessments required of all public school students.		
7. The charter school complies with the Age Discrimination Act of 1975, Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, and Part B of the IDEA. <i>This includes all assurances provided in the AZ CSP Grant Application and in the new charter application.</i>		
Total Criteria: 7	#Met #Not Met #NA	

Indicator: B1. Educational Program

The school has an educational program that includes challenging curriculum, engaging instruction, and rigorous assessment.

Documentation: School's curriculum; scope and sequence documents, pacing guides, and curriculum maps; teacher lesson plans; system of teacher evaluation including evaluation instrument; assessment plan/system; results of classroom benchmark assessments and other national, state and local assessments as well as evidence of the school's efforts to analyze assessment data; evidence of the school's efforts to address results of assessment data analysis; interviews; classroom observations

Criteria	Status	Documentation Reviewed
1. The school has aligned or is planning to align the curriculum with state content standards prior to the first year of operation and for subsequent years of operation.		
2. The school's instructional methodology, as described in the AZ CSP application, is evident during classroom observations.		
3. The school's educational program, including instructional methodology, has improved student achievement as described in the AZ CSP application.		
4. The school's supplemental curriculum, as described in the AZ CSP application, was evident during classroom observations.		
5. High Schools – The school has a plan for continuing to assess students in Grades 11 and 12 that have passed AIMS to insure they are prepared for post secondary college and/or career training.		
6. The school's reading program, as identified in the AZ CSP application, leads to comprehension mastery for all the grades the school serves.		
7. The school has identified a staff person who is responsible for insuring that the school is employing its assessment data to improve student achievement.		
8. The school can provide evidence of the school's efforts to analyze assessment data and evidence of the school's efforts to address results of the data analysis.		

Total Criteria: 8	#Met #Not Met #NA	
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Indicator: C1. Governing Body

The Governing Body provides ongoing oversight to ensure the school's successful progress.

Documentation: Strategic Plan; Governing Body meeting agendas and minutes; Governing Body policies and procedures; year-end progress report (for schools operating in Years Two and beyond)

Criteria	Status	Documentation Reviewed
1. The Governing Body is in the process of creating or has adopted a strategic plan for the organization.		
2. The Governing Body can demonstrate efforts to sustain the strategic plan.		
3. The Governing Body can demonstrate responsibility for supporting increased student academic achievement as measured by the state assessment.		
4. The Governing Body monitors disaggregated student achievement data in order to identify any achievement gaps among the various student subpopulations required under ESEA.		
5. The Governing Body monitors education strategies used to close achievement gaps among student subpopulations.		
6. The Governing Body monitors student achievement data to assist in making program adjustments and measuring progress toward the school's primary goals.		
7. The Governing Body has policies and procedures in place to contract for services.		
8. The Governing Body involves parents and other members of the community in planning, program design and implementation of the charter school.		
Total Criteria: 8	#Met #Not Met #NA	